

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: To Be Assigned  
Applicant: Junichi Asada et al.  
Filed: Herewith  
Title: OPTICAL HEAD APPARATUS  
TC/A.U.:  
Examiner:  
Confirmation No.:  
Docket No.: MTS-3195US1

**DIVISIONAL OF:**

Appln. No: 09/553,100  
Applicant: Junichi Asada et al.  
Filed: April 20, 2000  
Title: OPTICAL HEAD APPARATUS  
TC/A.U.: 2653  
Examiner: Bach Q. Vuong  
Confirmation No.: 4546  
Docket No.: MTS-3195US

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO 1449 (R&P) submitted herewith.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

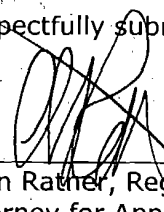
In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Under 37 C.F.R. § 1.98(d), copies of the patents and publications listed on the enclosed PTO Form 1449 are not required to be provided, because they were cited by or

submitted to the Patent and Trademark Office in prior application Serial No. 09/553,100, filed April 20, 2000, which is relied upon for an earlier filing date under 35 U.S.C. § 120.

This Information Disclosure Statement is being filed concurrently with the above-referenced application.

Respectfully submitted,

  
Allan Ratner, Reg. No. 19,717  
Attorney for Applicants

AR:ds

Enclosures: PTO Form 1449

Dated: July 30, 2003

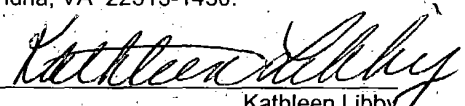
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Kathleen Libby

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Substitute for Form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 1 of 2

**Complete if Known**

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Junichi Asada et al.
Art Unit	
Examiner Name	
Attorney Docket No.	MTS-3195US1

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-5,233,595	08-1993	Kawakubo, Isao	Entire Document
		US-5,373,519	12-1994	Siono et al	Entire Document
		US-5,500,846	03-1996	Ophey, Willem G.	Entire Document
		US-5,600,621	02-1997	Noda et al	Entire Document
		US-5,801,402 (with counterpart CN 1159048A)	09-01-1998	Shin	Entire Document
		US-6,084,844 (with counterpart CN 1194434A)	07-04-2000	Takeda	Entire Document
		US-6,463,023	10-2002	Miura, Masafumi	Entire Document
		US-			
		US-			
		US-			
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	Publication Date (MM-DD-YYYY)	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		CN 1159048A (with counterpart USPN 5,801,402)	09/10/1997		Entire Document	<input type="checkbox"/>
		CN 1194434A (with counterpart USPN 6,084,844)	09/30/1998		Entire Document	<input type="checkbox"/>
		06290477 Japan (with English Abstract)	10/18/1994		Entire Document	<input type="checkbox"/>
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

<sup>1</sup>Applicant's unique citation designation number (optional).

<sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.

<sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

<sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

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The collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO:**  
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**SHEET 2 of 2**

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First Named Inventor	Junichi Asada, et al
Art Unit	
Examiner Name	
Attorney Docket No.	MTS-3195US1

## NON-PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature		Date Considered	
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<sup>1</sup>Applicant's unique citation designation number (optional).

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